

FORM PTO-1449 (REV. 6-89)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket No. 3854	Serial No. 09/289,550
INFORMATION DISCLOSURE CITATION				Applicant Richard W. Friesen and Peter C. Hart	
(Use several sheets if necessary)				Filing Date April 9, 1999	Group Art Unit 2773


U.S. PATENT DOCUMENTS													
Examiner Initials	A	5	3	7	5	0	5	5	Date	Name	Class	Subclass	Filing Date if Appropriate
<i>CRK</i>									12/20/94	Michael Togher, et al.	364	408	2/3/92
<i>CRK</i>									1/17/89	Shavit, et al.	364	401	10/1/86
<i>CRK</i>									6/16/87	Kalmus, et al.	364	408	1/30/85

FOREIGN PATENT DOCUMENTS								
		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			

EXAMINER <i>Charles Jh</i>	DATE CONSIDERED <i>4/12/02</i>
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EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.
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Form PTO-1449 U.S. Department of Commerce Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT BY APPLICANT 	Atty. Docket No. 03-1106	Serial No. 09/289,550
	Applicant: Friesen et al.	
	Filing Date: 04/09/99	Group: 3624

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation Yes No

OTHER DOCUMENTS - Including Author, Title, Date, Pertinent Pages, Etc.

<i>CRK</i>	1.	CATS Traders' Manual, Toronto Stock Exchange, September 30, 1977
<i>CRK</i>	2.	Market Watch, Trading Screen, date not available

Examiner <i>Charles R/L</i>	Date Considered <i>4/18/06</i>
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PTO/SB/08a (08-03)

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Substitute Form 1001 (USPTO)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	09/289,550
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen
Art Unit	3624
Examiner Name	Kyle, Charles
Attorney Docket Number	36992.00106

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CK		US-4,750,135	06-07-1988	Boilen, Shelly	
		US-4,903,201	02-20-1990	Wagner, Susan W.	
		US-5,038,284	08-08-1991	Kramer, Robert M.	
		US-5,077,685	12-31-1991	Silverman et al.	
		US-5,101,353	03-31-1992	Lupien et al.	
		US-5,270,922	12-14-1993	Higgins, Gerard M.	
		US-5,774,877	06-30-1998	Patterson, Jr. et al.	
		US-5,793,301	08-11-1998	Patterson, Jr. et al.	
		US-5,797,002	08-18-1998	Patterson, Jr. et al.	
		US-5,845,268	12-01-1998	Lupien et al.	
		US-5,915,245	06-22-1999	Patterson, Jr. et al.	
		US-5,924,082	07-13-1999	Silverman et al.	
		US-5,924,083	07-13-1999	Silverman et al.	
		US-5,946,687	08-31-1999	Tull, Jr. et al.	
		US-5,963,923	10-05-1999	Garber, Howard B.	
		US-6,012,046	01-04-2000	Lupien, et al.	
		US-6,014,643	01-11-2000	Minton, Vernon F.	
		US-6,035,287	03-07-2000	Stallaert et al.	
		US-6,098,051	08-01-2000	Lupien et al.	
		US-6,131,087	10-10-2000	Luke et al.	
		US-6,134,535	10-17-2000	Belzberg, Sydney H.	
		US-6,195,647	02-27-2001	Martyn et al.	
		US-6,282,521	08-28-2001	Howorka, Edward R.	
		US-6,408,282	08-18-2002	Buist, Walter D.	
CK		US-6,418,419	07-09-2002	Nieboer et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
CK		WO 95/26005 A1	09-28-1995	Belzberg, Sydney H.		
CK		WO 00/52619 A1	09-08-2000	WIT CAPITAL CORPORATION		

Examiner
Signature

Charles Kyle

Date
Considered

6/2/06


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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitution 201-7449B/PTO <div style="text-align: center; font-weight: bold; font-size: 1.2em;"> INFORMATION DISCLOSURE STATEMENT BY APPLICANT </div> <p style="text-align: center; font-style: italic;">(Use as many sheets as necessary)</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: right; font-weight: normal; padding: 5px;"><i>Complete if Known</i></th> </tr> <tr> <td style="width: 35%; padding: 5px;"><i>Application Number</i></td> <td style="padding: 5px;">09/289,550</td> </tr> <tr> <td style="padding: 5px;"><i>Filing Date</i></td> <td style="padding: 5px;">April 9, 1999</td> </tr> <tr> <td style="padding: 5px;"><i>First Named Inventor</i></td> <td style="padding: 5px;">Richard W. Friesen</td> </tr> <tr> <td style="padding: 5px;"><i>Art Unit</i></td> <td style="padding: 5px;">3624</td> </tr> <tr> <td style="padding: 5px;"><i>Examiner Name</i></td> <td style="padding: 5px;">Charles Kyle</td> </tr> <tr> <td style="padding: 5px;"><i>Attorney Docket Number</i></td> <td style="padding: 5px;">36992.00106</td> </tr> </table>	<i>Complete if Known</i>		<i>Application Number</i>	09/289,550	<i>Filing Date</i>	April 9, 1999	<i>First Named Inventor</i>	Richard W. Friesen	<i>Art Unit</i>	3624	<i>Examiner Name</i>	Charles Kyle	<i>Attorney Docket Number</i>	36992.00106
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Examiner Signature		Date Considered	7/27/00
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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.
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